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<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER <b>003252-53292</b>
INTERNATIONAL APPLICATION NO. <b>PCT/US2004/003020</b>	INTERNATIONAL FILING DATE <b>03 February 2004 (3.02.2004)</b>	U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>807370388</b>
PRIORITY DATE CLAIMED <b>03 February 2003 (3.02.2003)</b>		
TITLE OF INVENTION METHODS AND COMPOSITIONS FOR INHIBITING CHOLESTEROL UPTAKE		
APPLICANT(S) FOR DO/EO/US Thomas Jefferson University, et al.		

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☒ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

AP20Rec'd PCT/PTO 19 APR 2006

Approved for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>10/570588</b>		INTERNATIONAL APPLICATION NO. <b>PCT/US2004/003020</b>		ATTORNEY'S DOCKET NUMBER <b>003252-53292</b>	
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20. Other items or information:  
 Express Mail Certificate EV653005068US; Petition For Revival of an International Application for Patent Abandoned Unintentionally Under 37 C.F.R. § 1.137 (b); Letter Regarding Petition For Revival of an International Application; Transmittal of Formal Drawings; Formal Drawings; Statement to Support Filing and Submission in Accordance with 37 C.F.R. §§1.821-1.825; PAPER COPY- Sequence Listing; Computer Readable Form of Sequence Listing; Form 08a; Copy - International Search Report - Form PCT/ISA 210; COPY - References A1 and C1-C2 cited in International Search Report; Form PCT/IB/301; Form PCT/IB/304; Form PCT/IB/306; Form PCT/IB/308 (First and Second Notices); Published PCT WO 2004/069193 A2; COPY - Assignments Filed in Parent; and Return Receipt Postcard.

The following fees have been submitted				CALCULATIONS		PTO USE ONLY	
21.	<input checked="" type="checkbox"/>	Basic national fee (37 CFR 1.492(a)).....	\$300	\$	300.00		
22.	<input checked="" type="checkbox"/>	Examination fee (37 CFR 1.492(c))					
If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....				\$	200.00		
All other situations.....				\$200			
23.	<input checked="" type="checkbox"/>	Search fee (37 CFR 1.492(b))					
If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....				\$	100.00		
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....				\$100			
International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB.....				\$400			
All other situations.....				\$500			
<b>TOTAL OF 21, 22 and 23 =</b>					<b>600.00</b>		
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.							
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE				
45 - 100 =	-55 /50 =		x \$250	\$	0.00		
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				\$	130.00		
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$			
Total claims	14 - 20 =	0	x \$ 50	\$	0.00		
Independent claims	9 - 3 =	6	x \$200	\$	1,200.00		
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$360	\$	0.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	<b>1,930.00</b>		
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.					965.00		
<b>SUBTOTAL =</b>				\$	<b>965.00</b>		
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				+	\$	0.00	
<b>TOTAL NATIONAL FEE =</b>				\$	<b>965.00</b>		
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$	0.00	
<b>TOTAL FEES ENCLOSED =</b>				\$	<b>965.00</b>		
					Amount to be refunded:	\$	
					Amount to be charged	\$	

10/576388

PTO-1390 (Rev. 07-2005)

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- IAP20 Rec'd PCT/PTO 19 APR 2006
- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 50-0850 in the amount of \$ 965.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-0850. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

## SEND ALL CORRESPONDENCE TO:

David S. Resnick  
NIXON PEABODY LLP  
100 Summer Street  
Boston, MA 02110-2131  
US

  
SIGNATURE

David S. Resnick / J. Amelia Feulner  
NAME

34,235 / 58,039  
REGISTRATION NUMBER

Practitioner's Docket No. 003252-53292

PATENT

IN THE UNITED STATES RECEIVING OFFICE

PCT/US2004/003020	03.02.2004 03 February 2004	03.02.2003 03 February 2003
International Application Number	International Filing Date	International Earliest Priority Date

TITLE OF INVENTION: METHODS AND COMPOSITIONS FOR INHIBITING  
 CHOLESTEROL UPTAKE

APPLICANT(S) FOR EO/DO: Thomas Jefferson University et al.  
 INVENTOR(S)/APPLICANT(S) FOR US: Steven A. FARBER et al.

VERIFIED CERTIFICATION OF EXPRESS MAILING DATE  
 (INTERNATIONAL APPLICATION (37 C.F.R. section 1.10(c))

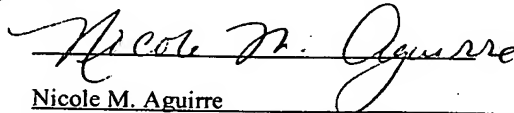
I declare that, on April 19, 2006 I deposited, with the United States Postal Service, in an envelope "Express Mail, Post Office to Addressee," bearing Label Number EV653005068US, addressed to the "MAIL STOP PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450," and having an express mail certification that I executed, the following papers:

1. Express Mail Certificate EV653005068US (1 pg.);
2. Petition For Revival of an International Application for Patent Abandoned Unintentionally Under 37 C.F.R. § 1.137 (b) (2pp);
3. Letter Regarding Petition For Revival of an International Application (2pp);
4. Transmittal Letter to the U.S. Receiving Office Concerning a Filing Under 35 U.S.C. 371 – in duplicate (6 pp.);
5. Application Data Sheet (3 pp.);
6. Preliminary Amendment (4 pp.);
7. Transmittal of Formal Drawings (1 pg.);
8. Formal Drawings (8 pp.);
9. Amendment under C.F.R. §1.825 (1 pg.);
10. Statement to Support Filing and Submission in Accordance with 37 C.F.R. §§1.821-1.825 (1 pg.);
11. PAPER COPY- Sequence Listing (7 pp.);
12. Computer readable form of sequence listing (1 diskette);
13. Information Disclosure Statement, including Form 08a (4 pp.);
14. International Search Report - Form PCT/ISA 210 (2 pp.);
15. COPY – References A1 and C1-C2 cited in International Search Report;
16. Form PCT/IB/301 (2 pp.);
17. Form PCT/IB/304 (1 pg.);
18. Form PCT/IB/306 (1 pg.);
19. Form PCT/IB/308 (First and Second Notices) (2 pp.);
20. Published PCT WO 2004/069193 A2 (coversheet, 1 pg.);
21. COPY – Assignments filed in parent (12 pp.); and
22. Return Receipt Postcard.

A copy of these papers from the file of this application is attached.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application of any patent issuing thereon.

Date: April 19, 2006

  
 Nicole M. Aguirre  
 (type or print name of person certifying)

IN THE UNITED STATES RECEIVING OFFICE

APR 19 2006

PCT/US2004/003020	03.02.2004 03 February 2004	03.02.2003 03 February 2003
International Application Number	International Filing Date	International Earliest Priority Date

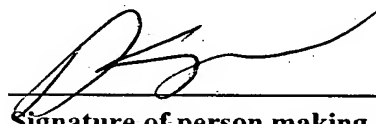
**TITLE OF INVENTION: METHODS AND COMPOSITIONS FOR INHIBITING  
CHOLESTEROL UPTAKE**

**APPLICANT(S) FOR EO/DO:** Thomas Jefferson University et al.  
**INVENTOR(S)/APPLICANT(S) FOR US:** Steven A. Farber et al.

The Examiner is hereby authorized to charge the Deposit Account No. 50-0850 for any and all fees in relation to this filing. Application status is small entity. Authorization is hereby made to charge Deposit Account No. 50-0850 in the amount of \$750.00 for the fee (37 C.F.R. § 1.17(m)) associated with the present Petition. For submission of the proper reply previously omitted, authorization is hereby made to charge the Deposit Account No. 50-0850 for the fees associated with the National Stage Entry of the present application.

Please charge any additional fees required by this paper or credit any overpayment in the manner authorized above.

Date: April 19, 2006



Signature of person making statement that  
abandonment was due to unintentional delay

David S. Resnick (Registration No. 34,235)  
Nixon Peabody LLP  
100 Summer Street  
Boston, MA 02110  
US  
617-345-6057  
Customer No. 50828

Practitioner's Docket No. 003252-53292

PATENT

IN THE UNITED STATES RECEIVING OFFICE

PCT/US2004/003020	03.02.2004 03 February 2004	03.02.2003 03 February 2003
International Application Number	International Filing Date	International Earliest Priority Date

TITLE OF INVENTION: METHODS AND COMPOSITIONS FOR INHIBITING  
 CHOLESTEROL UPTAKE

APPLICANT(S) FOR EO/DO: Thomas Jefferson University et al.  
 INVENTOR(S)/APPLICANT(S) FOR US: Steven A. FARBER et al.

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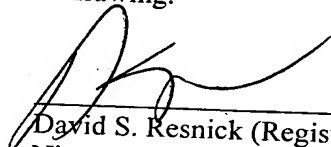
TRANSMITTAL OF FORMAL DRAWINGS

Attached please find:

- (a) the formal drawing(s) for this application.  
 Number of Sheets: 8

Each sheet of drawing indicates the identifying indicia suggested in § 1.84(c)  
 on the reverse side of the drawing.

Date: April 19, 2006

  
 David S. Resnick (Registration No. 34,235)  
 Nixon Peabody LLP  
 100 Summer Street  
 Boston, MA 02110  
 617-345-6057  
 Customer No. 50828

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\*

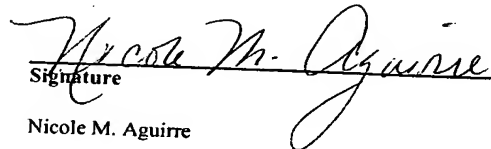
I hereby certify that, on the date shown below, this correspondence is being:

☒ deposited with the United States Postal Service in an envelope addressed to the MAIL STOP PCT, Commissioner for Patents, P.O. Box  
 1450, Alexandria, VA 22313-1450.

37 C.F.R. § 1.10\*

☒ as "Express Mail Post Office to Addressee"  
 Mailing Label No. EV653005068US (mandatory)

Date: April 19, 2006

  
 Signature  
 Nicole M. Aguirre  
 (type or print name of person certifying)

10/576388  
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Company: NIXON PEABODY LLP  
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